

PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 160.00

Complete if Known

Application Number	09/401,251
Filing Date	09/23/1999
First Named Inventor	Catherine M. Keene
Examiner Name	Hung Pham
Group Art Unit	2172
Attorney Docket No.	AGIL-00500

METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 50-2421
Deposit Account Name: Stevens & Sponseller LLP

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	740	201 370	Utility filing fee	
106	330	206 165	Design filing fee	
107	510	207 255	Plant filing fee	
108	740	208 370	Reissue filing fee	
114	160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$) 0.00

2. EXTRA CLAIM FEES

Total Claims: -20** = X =
Independent Claims: -3** = X =
Multiple Dependent: =

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18 203 9		Claims in excess of 20
102	84 202 42		Independent claims in excess of 3
104	280 204 140		Multiple dependent claim, if not paid
109	84 209 42		** Reissue independent claims over original patent
110	18 210 9		** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130 205 65		Surcharge - late filing fee or oath	
127	50 227 25		Surcharge - late provisional filing fee or cover sheet	
139	130 139 130		Non-English specification	
147	2,520 147 2,520		For filing a request for ex parte reexamination	
112	920* 112 920*		Requesting publication of Statement of Examiner action	
113	1,840* 113 1,840*		Requesting publication of SIR after Examiner action	
115	110 215 55		Extension for reply within first month	
116	400 216 200		Extension for reply within second month	
117	920 217 460		Extension for reply within third month	
118	1,440 218 720		Extension for reply within fourth month	
128	1,960 228 980		Extension for reply within fifth month	
119	320 219 160		Notice of Appeal	160.00
120	320 220 160		Filing a brief in support of an appeal	
121	280 221 140		Request for oral hearing	
138	1,510 138 1,510		Petition to institute a public use proceeding	
140	110 240 55		Petition to revive - unavoidable	
141	1,280 241 640		Petition to revive - unintentional	
142	1,280 242 640		Utility issue fee (or reissue)	
143	460 243 230		Design issue fee	
144	620 244 310		Plant issue fee	
122	130 122 130		Petitions to the Commissioner	
123	50 123 50		Processing fee under 37 CFR 1.17(q)	
126	180 126 180		Submission of Information Disclosure Stmt	
581	40 581 40		Recording each patent assignment per property (times number of properties)	
146	740 246 370		Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740 249 370		For each additional invention to be examined (37 CFR § 1.129(b))	
179	740 279 370		Request for Continued Examination (RCE)	
169	900 169 900		Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 160.00

SUBMITTED BY

Name (Print/Type) David R. Stevens

Registration No. (Attorney/Agent) 38,626

Complete (if applicable)

Telephone 408-288-7588

Signature

Date 11/18/2002

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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.




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PTO/SB/31 (02-01)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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NOTICE OF APPEAL FROM THE EXAMINER TO THE BOARD OF PATENT APPEALS AND INTERFERENCES		Docket Number (Optional) A91L-00500	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Assistant Commissioner for Patents, Washington D.C. 20231" on <u>11/18/2002</u> .		In re Application of CATHERINE M. KEENE et al.	
		Application Number 09/401,251	Filed 09/23/1999
Signature <u><i>Kim Thu Van-Dinh</i></u> Typed or printed name KIM THU VAN-DINH		For Method and Apparatus for providing controlled access to software objects and associated documents	
		Group Art Unit 2172	Examiner PHAM, Hung Q
Applicant hereby appeals to the Board of Patent Appeals and Interferences from the last decision of the examiner.			
The fee for this Notice of Appeal is (37 CFR 1.17(b))		\$ <u>320.00</u>	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Therefore, the fee shown above is reduced by half, and the resulting fee is:		\$ <u>160.00</u>	
<input checked="" type="checkbox"/> A check in the amount of the fee is enclosed.		RECEIVED NOV 29 2002 Technology Center 2100	
<input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.			
<input type="checkbox"/> The Commissioner has already been authorized to charge fees in this application to Deposit Account. I have enclosed a duplicate copy of this sheet.			
<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. <u>50-2421</u> . I have enclosed a duplicate copy of this sheet.			
<input type="checkbox"/> A petition for an extension of time under 37 CFR 1.136(a) (PTO/SB/22) is enclosed.			
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.			
I am the		 Signature	
<input type="checkbox"/> applicant/inventor.			
<input type="checkbox"/> assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)		DAVID R. STEVENS (Reg. no. 38,626) Typed or printed name 11/18/2002 Date	
<input checked="" type="checkbox"/> attorney or agent of record.			
<input type="checkbox"/> attorney or agent acting under 37 CFR 1.34(a). Registration number if acting under 37 CFR 1.34(a) _____			
NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.			
<input type="checkbox"/> *Total of _____ forms are submitted.			

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